

OFFICE OF CRIMINAL JUSTICE PLANNING

OFFICE OF THE DIRECTOR
30 K STREET, SUITE 300
SACRAMENTO, CA 95814

April 30, 1997

To : INTERESTED PARTIES

Subject: CALIFORNIA'S RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM

The Office of Criminal Justice Planning (OCJP) is soliciting proposals from interested parties for the FY 1997/98 Residential Substance Abuse Treatment (RSAT) Program. This federally-funded program is primarily aimed at providing drug treatment services for inmates in state prisons. A portion of the FY 1996/97 allocation has been set aside for local participation (e.g., the county sheriff (jails), chief probation officers, and directors of detention/confinement facilities, etc.) However, only \$895,956 is available for initial funding. We estimate that no more than four projects may be selected for funding. Additional funding may be available at a later date.

All proposals will be read, rated, and ranked competitively with other proposals. Please read the accompanying RFP carefully to ensure that your proposal contains the required elements. There are four parts to the RFP: the RFP Process, General Instructions, Programmatic Instructions, and the Proposal Forms.

To be considered for this funding opportunity, prospective applicants must complete the enclosed materials and submit them to OCJP no later than 5:00 p.m. on Monday, June 16, 1997. Proposals must be delivered to:

Office of Criminal Justice Planning
1130 "K" Street, Suite LL60
Sacramento, California 95814

Attn: Crime Suppression Branch - RSAT Program

Should you have any questions regarding this RFP, please contact the Crime Suppression Branch at (916) 324-9112.

Sincerely,

RAY JOHNSON
Executive Director

Enclosures

OFFICE OF CRIMINAL JUSTICE PLANNING (OCJP)
RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSALS (RFP)
FOR FISCAL YEAR 1996/97

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**OFFICE OF CRIMINAL JUSTICE PLANNING (OCJP)
RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSALS (RFP)
FOR FISCAL YEAR 1996/97**

PART I - INFORMATION ON THE RFP PROCESS

A. INTRODUCTION

This RFP provides information on how to prepare a proposal for grant funds in accordance with authorizing legislation and funding terms, conditions and eligibility criteria established by OCJP. A complete proposal submitted to OCJP includes OCJP forms, technical documents and project narratives.

OCJP is strongly committed to working closely with potential applicants to provide technical information on an RFP when requested. Contact information is provided in the Programmatic Instructions, however, OCJP staff cannot assist applicants with the actual preparation of their proposals. During the period of time between the publication date of the RFP and the date that competitive proposals are due, OCJP can answer only technical questions about the RFP.

B. DETERMINING ELIGIBILITY

The first step in the application process should be to confirm that the applicant is eligible to receive funding for the program. Applicants should refer to the Programmatic Instructions for specific eligibility criteria.

Unless required by the Programmatic Instructions, documentation to support an applicant's eligibility (e.g., proof of nonprofit status) will not be required until an applicant has been selected for funding.

C. SELECTION OF PROPOSALS FOR FUNDING

1. Proposal Rating

All qualified proposals will be read and rated by a team usually consisting of three raters. The raters will assign a numerical score to each proposal. The raw score of each rater will be totaled and averaged to obtain a single score for the proposal. The averaged scores of all qualified proposals will then be ranked numerically to develop a ranked list for each program. The rating forms that will be used for this process are included in the Programmatic Instructions section. These forms are provided as information only and are not to be submitted with the proposal.

2. Funding Recommendations

Recommendations for funding will be based on the following:

- the ranked score of the proposal;
- consideration of the funding priorities or geographical distribution of selected proposals as applicable to each program; and
- prior administrative and programmatic performance and compliance as an OCJP-funded project, if applicable.

Projects that have been previously funded by OCJP will be reviewed for past compliance, including financial management, progress and annual reports, monitoring results, audit reports and any other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) Grant Award Conditions may be placed in the Grant Award Agreement.

Recommendations for funding are submitted to the Executive Director of OCJP who makes the funding decisions, **with the following exceptions:**

- The Executive Director of OCJP makes funding recommendations to the State Advisory Committee (SAC) on the Sexual Assault Victims Services/Prevention Program, which makes the final funding decisions in accordance with California Penal Code Section 13837; and
- The Executive Director of OCJP makes funding recommendations to the State Advisory Group (SAG) for the Juvenile Justice and Delinquency Prevention Program, which makes the funding decisions as authorized by the California Council on Criminal Justice in accordance with California Penal Code Section 13813.

3. Notification Process

All applicants submitting a proposal will be notified in writing of the results of the rating process. Projects selected for funding will simultaneously receive the OCJP Grantee Handbook and the Grant Award Forms Package, which includes additional forms and instructions. Applicants which are not selected for funding will receive a letter and information on the appeals process.

Applicants may appeal the denial of their proposal for funding by filing a written notice of intent to appeal. The grounds for such an appeal are limited to specific facts demonstrating that the criteria and priorities enunciated in the RFP were not followed in making the funding decision regarding the appellant's proposal.

D. STANDARD PROJECT FUNDING AUTHORITY

Allocation of funds is contingent on the enactment of the State budget. OCJP does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring any expenditures. Any expenditures incurred prior to authorization are made at the project's own risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the Grant Award, the State and/or federal funds appropriated for the purposes of the Grant Award are reduced or eliminated by the California Legislature or the United States Government, or, in the event revenues are not collected at the level appropriated, OCJP may immediately terminate or reduce the Grant Award by written notice to the grantee. However, no such termination or reduction shall apply to allowable costs already incurred by the grantee to the extent that State or federal funds are available for payment of such costs.

OCJP Grant Award Agreements are subject to applicable restrictions, limitations or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the agreement.

E. PROCESSING GRANT AWARDS

1. Submission of Additional Materials

Upon selection of the projects to be funded, OCJP will send the Grant Award Forms Package to the grantee for completion prior to the finalization of the Grant Award Agreement. OCJP is not obligated to fund such projects until the applicant submits correctly completed documents required for the Grant Award Agreement. The final, completed and approved application becomes the Grant Award Agreement when signed by OCJP's Executive Director or designee.

Two of the additional items to be submitted are the Assurance of Compliance (OCJP 656) and a resolution. Upon selection of projects to be funded, OCJP will send the Certification Form and specific details regarding Equal Employment Opportunity Program (EEOP) development, Drug Free Workplace Compliance, CEQA/Environmental Impact Compliance, and Lobbying and Debarment/Suspension requirements in the Grant Award Forms Package. Applicants selected for funding will then be required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. In signing the Grant Award Face Sheet, the applicant formally notifies OCJP that the applicant will comply with all pertinent requirements.

If selected for funding, a resolution from the governing board or council, authorizing the applicant to enter into a Grant Award Agreement with OCJP, will be required for each Grant Award Agreement. Applicants selected for funding will be required to submit an original or a current certified copy of a resolution from the governing board or council. To avoid funding delays, an applicant selected for funding should immediately request that a resolution be placed on the agenda of the governing board or council.

2. Grant Award Conditions

OCJP may add one or more Grant Award Conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant Award Conditions may include requirements for sole-source justification, a computer feasibility study or any other requirements deemed necessary by OCJP.

3. Grant Award Agreement

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. Applicants are not authorized to incur costs against the grant until they have received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the OCJP Form 201, Report of Expenditure and Request for Funds, may be submitted for reimbursement.

4. Grant Award Amounts

Due to the limited amount of funds available, it may be necessary for OCJP to reduce the amount of the grant award from that requested by the applicant. In addition, OCJP reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OCJP will notify the applicant prior to executing the Grant Award.

F. ADMINISTRATIVE REQUIREMENTS

The following requirements will apply to all projects selected for funding. These requirements are explained below for your planning purposes.

1. OCJP Grantee Handbook

The Grantee Handbook will be provided to projects which are selected for funding. The Grantee Handbook contains administrative information and requirements necessary to implement the project. Grantees must administer their grants in accordance with the OCJP Grantee Handbook requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Award.

2. Progress Reports and Data Collection

Funded projects are required to participate in data collection and to submit reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period of three years. During programmatic monitoring visits, OCJP will review these records for accuracy and compare them with the reported data submitted on the progress reports.

3. Monthly/Quarterly Report of Expenditure and Request for Funds (OCJP 201)

Community-based organizations (CBOs) shall submit a Monthly Report of Expenditures (OCJP 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

4. Technical Assistance/Site Visits

Each project selected for funding is assigned a program specialist by OCJP to monitor the progress of the project in achieving its goals and objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system and in the administrative execution of grant award agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Projects must coordinate any changes to the project with the program specialist.

5. Monitoring Requirements

A monitoring visit is an on-site assessment by the OCJP Monitoring and Program Effectiveness Branch to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines and the Grantee Handbook. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's "source documentation" as substantiation for project goals, objectives and activities.

6. Bonding Requirements

All private, nonprofit organizations are required to obtain and send to OCJP a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OCJP-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Office of Criminal Justice Planning."

The time period covered by the bond must include the effective date and total time period of the grant including any extensions. The bond must be in an amount equal to 50% of the total grant award and may have a deductible in an amount not to exceed \$1,000.

A bond is not required of applicants sponsored by units of government. Nonprofit organizations sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract unless specifically required in the Programmatic Instructions of the RFP or Grant Award Conditions.

7. Audit Requirements

All grantees must arrange for an independent audit of the Grant Award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the project budget section of the General Instructions.

8. Copyrights, Rights in Data and Patents

OCJP reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish and use, in whole or in part, any materials produced by activities supported by a Grant Award Agreement, and to authorize others to do so. Specifics are detailed in the OCJP Grantee Handbook provided with the Grant Award Forms Package to applicants selected for funding.

9. Source Documentation

The applicant, if selected for funding, will also be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the Programmatic Instructions.

Projects will be required to have written job descriptions on file for all positions funded by OCJP detailing specific grant-related activities to achieve project objectives (.)

G. GLOSSARY OF TERMS

Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Grantee	The agency or organization designated on the Grant Award Face Sheet who is the programmatic recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).

Application	Once selected for funding, the original proposal plus any additional forms as required by OCJP becomes the application. This application, once signed by OCJP and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-based Organization (CBO)	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code.
Competitive Bid	All suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEO)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEO Guidelines	Extensive description of State and federal civil rights requirements and what constitutes an EEO (samples, forms, etc.). The document was prepared to assist grantees in ensuring nondiscrimination and in the development, implementation and/or improvement of their EEO for compliance with the law.
Grant Award/Grant Award Agreement	The signed final agreement (application) between OCJP and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Award Forms Package	The package to be sent to projects selected for funding containing forms needed for the final Grant Award Agreement.
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request-for Proposal (RFP) or the Application for Continuation Funding (REAP/RFA), which the project narrative, objectives, activities and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OCJP A301).
Grantee Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions.
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet who is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).

Memorandum of Understanding (MOU)	This term is used synonymously with Operational Agreements.
Nonprofit Organization	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code. The term is used synonymously with community-based organization.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project.
Program	A specific set of goals and objectives established pursuant to legislative, congressional or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from State or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OCJP grant-funded program.
Project	The implementation of a program's goals and objectives by a (funded) state or local government agency or community-based organization.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to OCJP which specifies the priorities, strategies and objectives of the applicant.
REAP	The Reapplication is a non-competitive application issued by OCJP to projects which will be receiving continuation funding.
RFA	The Request-for-Applications is a non-competitive application issued by OCJP.
RFP	The Request-for-Proposals is issued by OCJP to solicit competitive proposals relating to new funding.
Single Source	One supplier can be documented as being uniquely positioned to provide the service.
Sole Source	A specific supplier can be identified as the only supplier able to provide the services required by the department.
Supplanting	To reduce federal, state or local funds because of the existence of OCJP funds. Supplanting occurs when a grantee deliberately replaces its non-OCJP funds with OCJP

funds, thereby reducing the total amount available for the stated purpose.

**OFFICE OF CRIMINAL JUSTICE PLANNING
RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSALS (RFP)
FOR FISCAL YEAR 1996/97**

PART II - GENERAL INSTRUCTIONS

This Request for Proposals (RFP) pertains to applications for Fiscal Year (FY) 1996/97. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the OCJP Grantee Handbook. **If the Programmatic Instructions for the proposal conflict with the General Instructions, the Programmatic Instructions prevail.**

This RFP contains all of the instructions and forms necessary to submit a proposal. The applicant will not need separate program guidelines or the OCJP Grantee Handbook in order to prepare a proposal. The OCJP Grantee Handbook will only be sent to agencies which have been selected for funding.

A. STRUCTURE OF THIS RFP

This RFP has been printed in a way that will allow the user to take the document apart and reproduce any necessary pages. OCJP authorizes reproduction of this document in part or in whole. The document is comprised of four main sections.

- **PART I - INFORMATION ON THE RFP PROCESS:** This section provides information concerning the process by which an applicant submits a proposal, the process OCJP uses to select proposals, and the administrative requirements of successful applicants once selected for funding.
- **PART II - GENERAL INSTRUCTIONS:** This section provides general instructions for the preparation of a proposal.
- **PART III - PROGRAMMATIC INSTRUCTIONS:** This section provides specific instructions pertaining to the program..
- **PART IV - PROPOSAL FORMS:** This section contains all the forms needed to complete the proposal and corresponds with both the general and programmatic instructions. A clean set of these forms should be maintained for use as master copies. Precious time may be lost contacting OCJP to request additional blank copies of forms.

In order to prepare a proposal, an applicant must comply with all of the instructions in **both** the General Instructions and the Programmatic Instructions. We recommend that the applicant agency **maintain a clean copy** of each of the sections of this RFP for future reference.

B. PREPARING A PROPOSAL

When completed, a proposal should be comprised of the following five components:

- Grant Award Face Sheet (OCJP A301)
- Preference Points Certification Form
- Project Narrative
- Budget Narrative and Project Budget (OCJP A303a-c)

- Proposal Appendix

NOTE: Failure to include all of the required components may result in a reduced score, or disqualification. OCJP will not advise applicants that their proposal is incomplete prior to rating or disqualification.

The instructions in this section correspond to each of the proposal components. These instructions also correspond to the forms provided in Part IV, which apply to the same five proposal components.

Applicants should use the forms provided or computer-generated forms, and plain white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OCJP forms and must not allow the applicant more space than that provided on the OCJP forms. The Programmatic Instructions may specify a space limitation. If a space limitation is specified, strict adherence to the space limitation is required. Information submitted in excess of the space limitation **will not be read or rated.**

Proposals should be typed or computer-generated. Typed or computer-generated characters should be no smaller than the equivalent of standard 12 pitch print. **Applicants are encouraged to double space proposals.** Page size should not exceed standard 8 1/2 x 11 inch paper.

Copies of the proposal should be assembled separately and individually fastened in the upper left corner. **DO NOT BIND PROPOSALS.**

C. SUBMITTING A PROPOSAL

In order to submit a proposal, applicants must deliver the proposal to OCJP by the deadline.

- **Deliver the proposal to OCJP:** Applicants should submit one original and three copies of the proposal. Applicants must mail or hand deliver proposals to:

Office of Criminal Justice Planning
1130 K Street, Suite LL60
Sacramento, California 95814
Attn: (Specify Program Name from Programmatic Instructions)

Please note the following:

1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. Please note that K Street is a pedestrian mall at this location.

Indoor parking structures are located on the east side of 12th Street between K and L Streets and on 10th Street between K and L Streets. Street parking is limited, and require quarters for parking meters.

Once you enter the building at 1130 K Street, take the elevator to the Lower Level and deliver the proposal to LL60. The proposal will be date stamped and you may request a receipt.

- **By the deadline:** The deadline for submission is specified in the Programmatic Instructions. Proposals received after the deadline will not be considered for funding. All proposals will be date and time stamped upon receipt at OCJP. It is the responsibility of the applicant to ensure that the proposal is received at OCJP by the specified deadline. OCJP will not be responsible for late or

incomplete proposals due to mistakes or delays of the applicant or the carrier used by the applicant. A postmark is not sufficient. OCJP will not accept electronic facsimiles (fax) of the proposal. Materials submitted after the deadline will not be considered during the rating process. OCJP will not notify applicants regarding omissions or accept any late additions to a proposal.

D. GRANT AWARD FACE SHEET (OCJP A301)

1. **Administrative Agency**: Enter the complete name of the unit of government or private nonprofit organization that is applying for funding (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau, Inc.), also referred to as the "grantee".
2. **Implementing Agency**: Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Probation Department, District Attorney, Sheriff), and the contact person's name, address and phone number.
3. **Project Title**: Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters including spaces and punctuation.
4. **Project Director**: Enter the name, title, mailing address and telephone number of the individual ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer**: Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. Warrants for the project will be mailed to the address shown for the financial officer. This information must be limited to four lines.
6. **Award Number**: Leave blank. (To be completed by OCJP.)
7. **Grant Period**: Enter beginning and ending dates of funding as specified in the grant application instructions.
8. **Federal Amount**: If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount**: If applicable, enter the amount of state funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
10. **Cash Match**: If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match**: If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost**: Enter the sum of items 8, 9, 10 and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee**: Enter the signature, name, title, address and telephone number of the person authorized by applicant's governing body in the resolution, by position or title, to sign and execute the grant award.

E. PREFERENCE POINTS CERTIFICATION FORM (A copy of this form is included in this RFP.)

California Government Code Section 7093 requires OCJP to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas that have been identified to receive state contract preference points due to high unemployment, lower incomes and population density. The goal of the Enterprise Zone program is to stimulate growth in economically distressed areas. Five percent of the total possible points awarded will be added to the proposal for applicants that specifically target a designated zone for services. Two percent will be added to the proposal for applicants whose service area includes a zone, but who do not specifically target the area for services.

A list of Enterprise Zones, addresses and telephone numbers of contacts is presented below.

Applicants eligible for preference points must provide certification of eligibility by the appropriate agency. Self-certification is not allowed. A certification form is provided in this RFP. Preference points do not apply to statewide projects.

ENTERPRISE ZONE CONTACTS

(Revised November 1996)

California Trade & Commerce Agency	(916) 322-3432	Enterprise Zone Program 801 K Street #801 Sacramento, CA 95814
COMMUNITY	PHONE	ADDRESS
AGUA MANSA (EZ)		
Riverside County	(909) 275-6683 Fax 275-6686	Riverside County Econ. Div. Agency 3525 14th Street Riverside, CA 92501
San Bernardino County	(909) 388-0832 Fax 388-0844	Dept. of Community & Econ. Dev. 290 N. D Street 6th Floor San Bernardino, CA 92415-0040
City of Riverside	(909) 782-5519 Fax 782-5752	City Manager's Office 3900 Main Street, 7th Floor Riverside, CA 92522
City of Colton	(909) 370-5167 Fax 783-2656	Redevelopment Agency 552 N. LaCadena Drive Colton, CA 92324
City of Rialto	(909) 820-2528 Fax 873-2921	Dept. of Econ. Development 150 South Palm Avenue Rialto, CA 92376
ALTADENA/PASADENA (EZ)		
Pasadena	(818) 405-4761 Fax 405-4773	Enterprise Authority 100 North Garfield, Ste. 224 Pasadena, CA 91109
Altadena	(213) 890-7422 (213)890-8585	Los Angeles County CDC 2 Coral Circle Monterey Park, CA 91755-7432
BAKERSFIELD/KERN		
Kern County	(805) 862-5050 Fax 862-5052	Community Development Dept. 2700 M Street #250 Bakersfield, CA 93301-2346
City of Bakersfield	(805) 326-3765 Fax 861-8326	Econ. Development/ Redevelopment Div. 515 Truxton Avenue

		Bakersfield, CA 93301
CITY OF CALEXICO	(619) 768-2177 Fax 357-5864	608 Heber Avenue Calexico, CA 92231
COACHELLA VALLEY	(619) 391-5176 Fax 391-5178	Coachella Valley Enterprise Zone Authority 790 Vine Avenue Coachella, CA 92236
DELANO(EZ)	(805) 721-3340 Fax 721-2135	City of Delano 1015 11th Avenue Delano, CA 93215
EUREKA (EZ)	(707) 441-4216 Fax 441-4138	City of Eureka 531 K Street Eureka, CA 95501-1165
FRESNO (EZ)	(209) 233-2564 Fax 233-2156	Fresno EDC 2344 Tulare Street Ste 100 Fresno, CA 93721
KINGS COUNTY	(209) 582-4326 Fax 582-7908	Crown Economic Development Corp. 1222 W. Lacey Blvd. Ste. 101 Hanford, CA 93230
LINDSAY (EZ)	(209) 562-7117 Fax 562-5748	Lindsay Community Dev. 251 E. Honolulu Street Lindsay, CA 93247
LONG BEACH (EZ)	(310) 570-3821 Fax 570-3897	City of Long Beach 200 Pine Avenue., 4th floor Long Beach, CA 90802
LOS ANGELES, CENTRAL CITY AND LOS ANGELES, NORTHEAST VALLEY	(213) 485-2956 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES, EASTSIDE	(213) 485-4767 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES HARBOR AREA	(213) 485-2956 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES WATTS County of Los Angeles	(213) 890-7203 Fax 890-8585	Community Development Commission #2 Coral Circle Monterey Park, CA 91755
City of Los Angeles	(213) 485-5725 Fax 237-0551	City of Los Angeles Community Devel. Dept 215 W. 6th Street, 3rd Floor Los Angeles CA, 90014
Huntington Park	(213) 584-6258 Fax 588-4577	Community Redevelopment Agency 6550 Miles Avenue Huntington Park, CA 90255

Lynwood	(310) 603-0220-X253 Fax 639-6957	Community Development Department 11330 Bullis Road Lynwood, CA 90262
South Gate	(213) 563-9562 Fax 567-0725	Community Development Dept. 8650 California Avenue South Gate, CA 90280
MADERA (EIA)	(209) 675-7768 Fax 675-3252	Madera County Industrial Dev. Corp. 425 Gateway Drive Ste. M Madera, CA 93637
MERCED/ATWATER(EZ) Merced County	(209) 725-3800 Fax 383-4959	Merced County Dept. of Economic Development 1632 N Street Merced, CA 95340
City of Atwater	(209) 357-6340 Fax 357-6363	City of Atwater Redevelopment Agency 750 Bellevue Road Atwater, CA 95301
City of Merced	(209) 385-4788 Fax 723-1780	City of Merced 678 West 18th Street Merced, CA 95340
OAKLAND (EZ)	(510) 238-6430 Fax 238-3691	Off. of Econ. Dev. & Emp. City of Oakland 1333 Broadway 9th Floor Oakland, CA 94612
OROVILLE (EZ)	(916) 538-2433 Fax 538-2426	City of Oroville 1735 Montgomery Street Oroville, CA 95965
PITTSBURG (EIA)	(510) 439-3505 Fax 439-7654	City of Pittsburgh 340 Marina Blvd. Pittsburg, CA 94565
PORTERVILLE (EZ)	(209) 782-7466 Fax 781-6437	City of Porterville P.O. Box 432 291 N. Main Street Porterville, CA 93258
RICHMOND (EZ)	(510) 307-8140 Fax 307-8149	City of Richmond Redevelopment Agency 330 25th Street Richmond, CA 94804
SACRAMENTO (EIA)	(916) 440-1399 Fax 443-8872	Sacramento Housing and Redevelopment P.O. Box 1834 630 I Street, First Floor Sacramento, CA 95812-1834
SAN DIEGO-SAN YSIDRO/OTAY MESA/SE BARRIO LOGAN	(619) 236-6005 Fax 236-6512	City of San Diego 1200 3rd Avenue, Suite 1620 San Diego, CA 92101
SAN FRANCISCO (EZ)	(415) 749-2511 Fax 749-2590	Mayor's Office of Economic Planning and Development 770 Golden Gate Ave., 2nd Fl.

		San Francisco, CA 94102
SAN JOSE (EZ)	(408) 277-5880 Fax 277-3615	Office of Economic Development 50 W. San Fernando, Suite 900 San Jose, CA 95113
SANTA ANA (EZ)	(714) 647-6987 Fax 647-6549	City of Santa Ana 20 Civic Center Plaza, M-35 Santa Ana, CA 92701
SHAFTER (EZ)	(805) 746-6365 Fax 746-0607	City of Shafter 336 Pacific Avenue Shafter, CA 93263
SHASTA METRO (Redding/Anderson)	(916) 225-5300 Fax 225-5303	Shasta County EDC 737 Auditorium Dr., Suite D Redding, CA 96001
SHASTA VALLEY (Siskiyou County)(EZ)	(916) 842-1638 Fax 842-2685	Siskiyou County 1512 S. Oregon Yreka, CA 96097
STOCKTON (EZ)	(209) 937-8530 Fax 937-8904	City of Stockton 425 N. El Dorado Street Stockton, CA 95202-1997
WEST SACRAMENTO (EIA)	(916) 373-5843 Fax 373-5848	City of West Sacramento 1102 Jefferson Blvd. Ste. D West Sacramento, CA 95691
YUBA/SUTTER (EZ)	(916) 741-6248 Fax 742-7835	1482 Sky Harbor Drive, Ste. A Marysville, CA 95901

F. PROJECT NARRATIVE

The project narrative is the main body of information which describes the applicant, the need for funding, and the plan to address a community problem/issue through appropriate and achievable objectives and activities. Instructions for preparing the project narrative are contained in the Programmatic Instructions.

G. PROJECT BUDGET

This section provides standard requirements and instructions for preparing the budget. Refer to the Programmatic Instructions for additional instructions or requirements specific to the program.

The budget is the basis for management, fiscal review and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include only those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicants should not include in the project budget any matching funds in excess of the required match. All budgets are subject to OCJP modifications and approval.

OCJP requires the applicant to develop a line-item budget which will enable them to meet the requirements of the grant, ensure the successful implementation of the project and be cost effective. Applicants are thus instructed to prepare a realistic and prudent budget. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. Where the applicant does not budget for a required item, OCJP will assume the applicant will use its own funds. Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project.

1. **Budget Narrative Instructions**

All applicants are required to submit a budget narrative as part of the proposal budget. The budget narrative should be typed and placed in the proposal in front of the budget pages. In the budget narrative:

- Describe how the project's proposed budget supports the stated objectives and activities in the project.
- Discuss how funds are allocated to minimize administrative costs and support direct services.
- Describe the duties of project-funded staff, including any qualifications or education level necessary to the job assignment.
- Discuss how project-funded staff duties and time commitments support the proposed objectives and activities.
- Discuss any proposed staff commitment/percentage of time to other efforts, in addition to this project.
- Discuss the necessity of any subcontracts and any unusual expenditures.
- Discuss any mid-year salary range adjustments.

2. **Budget Policy**

- a. **Supplanting Prohibited:** Grant funds must be used to supplement existing funds for program activities and not replace those funds which have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OCJP that the grant funds will not be used to supplant state or local funds. Potential supplanting will be the subject of application review, post-award monitoring and audit.
- b. **Project Income:** Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant, unless otherwise specified in the Programmatic Instructions. Project income cannot be used as matching funds, unless otherwise specified in the Programmatic Instructions.
- c. **Sole/Single Source Requests:** A competitive bid process is required to purchase any equipment or consultant services with grant funds. Sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Although not recommended, whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OCJP will provide assistance in submitting a sole/single source request if the proposal is selected for funding and if OCJP determines that it is in the best interest of the project.

- d. Training:** Budget for all anticipated training related to the project. All applicants must budget for a minimum of one OCJP-sponsored training session during the grant year. Applicants must also include sufficient per diem and travel allocations for persons to attend all required OCJP training conferences or workshops listed under the Programmatic Instructions. If several staff will be attending the same event, budget for the total number of people. A minimum of two project staff from each participating agency must attend each training conference. Applicants should budget a minimum of \$200 for registration fees for each person plus the state per diem rate.
- e. Match Policies:** The following information is provided to clarify match policies and to assist the applicant in the calculation of the match.

The specific Programmatic Instructions may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the Grant Award. Specific instructions for calculating the match are provided below.

- 1) State Funds Matching State or Federal Funds:** State and/or federal funds can be used to match other state and/or federal funds only if all of the following conditions have been met:

- a) The other funding source does not prohibit this practice;
- b) The funds are to be used for identical activities (e.g., to augment the project); and
- c) The project has obtained prior written approval from OCJP, or specific Programmatic Instructions allow this practice.

2) Type of Match

- Cash Match

Cash match, also known as hard match, is revenue from a source other than State or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting.

- In-Kind Match

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them and are also budgeted. In-kind contributions represent the project's noncash outlay, including the noncash outlay contributed by other public agencies and institutions, private organizations and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

- 3) Calculating Match:** There are two possible methods of calculating a match. If a match is required, the method of calculation is specified in the Programmatic Instructions. Generally, match requirements are based on a percentage of the funds allocated or on a percentage of the

total project costs. The following information is provided to assist the applicant in calculating the required match.

- a) **Percent of Allocation:** With this method, the actual amount of the match is based on the funds allocated. Use the amount of grant funds requested as the allocation in calculating the match. Multiply the allocation requested by the percentage match required. **For example:** If a 10% match is required and the allocation requested is \$100,000; multiply the \$100,000 by .10 = \$10,000 match required.

- 10% MATCH BASED ON PERCENT OF ALLOCATION

Grant Amount	=	\$100,000
Percent of Cash Match	=	10%
Multiply \$100,000 by .10	=	\$10,000 (amount of match)

- b) **Total Project Cost:** With this method, the actual amount of the match is based on the total project costs. If the total project cost is known and is within the funding limits, simply multiply that amount by the percentage of match to obtain the match amount. If the total project cost is not known, calculate the match based on the following procedures:

- Deduct the percent match required from 100% to arrive at the figure by which the Grant Award amount will be divided. For example, if the match requirement is 10% of the total project costs, deduct 10% from 100% which equals 90% (.90) balance.
- To calculate the percent match, divide the Grant Award amount by the percent balance, then subtract the Grant Award amount to determine the local match. For example, to calculate a 10% percent match, divide the Grant Award amount by 90% which determines the total project costs, then subtract the Grant Award amount. The following example is provided to further assist in calculating the match based on total project cost.

- 10% MATCH BASED ON TOTAL PROJECT COST

Funds Awarded	=	\$100,000
Funds Awarded ^ .90	=	\$111,111 (total project cost)
	then	
Total Project Cost		\$111,111
Minus Grant Award Amount		<u>-100,000</u>
Total Project Match Required		\$ 11,111

3. Specific Budget Categories

There is a separate form in the Proposal Forms section for each of the budget categories listed below. This section contains standard instructions for completing those forms. Refer to the Programmatic Instructions for budget policy specific to the program when completing each section of the budget. Specific programmatic budget instructions supersede these general instructions.

There are three budget categories in the proposal budget:

- Personal Services - Salaries/Employee Benefits
- Operating Expenses
- Equipment

Each budget category requires line-item detail which addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented and rounded off to the nearest whole dollar. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services - Salaries/Employee Benefits (OCJP A303a) A copy of this form is included in the Proposal Forms section.

- 1) Salaries:** Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other staff are to be shown as consultants in the Operating Expenses Category supported by a memorandum of understanding, contract or operational agreement. Such documentation must be kept on file by the grantee and made available for review during an OCJP site or monitoring visit or audit. However, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Personal Services Category. In either case they may be salaried or hourly, full- or part-time positions.

Sick leave, vacation, holidays, overtime and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

- 2) Benefits:** Employee benefits must be identified by type and percentage of salaries. Applicants may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, if negotiated as a part of the employee benefit package, are allowable budget items.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full- or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1-1/2 clerical positions).

3) Prohibited Expense Items

- a) Bonuses/Commissions:** Projects are prohibited from paying any bonus or commission to any individual, organization or firm.

b. Operating Expenses (OCJP A303b) A copy of this form is included in the Proposal Forms section.

- 1) **Allowable Expenses:** Allowable operating expenses are defined as necessary expenditures exclusive of personnel salaries and benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be incurred (realized) during the grant period.

The following items fall within this category: consultant services, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$500 per unit (including tax, installation and freight) and/or with a useful life of less than four years fall within this category.

2) **Prohibited Expense Items**

- a) **Lobbying:** OCJP grant funds cannot be used for lobbying activities.
- b) **Fundraising:** OCJP grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.
- c) **Real Property and Improvements:** Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the Programmatic Instructions.
- d) **Interest:** The cost of interest payments is not an allowable expenditure.
- e) **Food and Beverages:** The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.
- f) **Weapons and Ammunition:** The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- g) **Membership Dues:** The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- h) **Professional License:** The cost of a professional license is not an allowable expenditure unless specifically authorized in the Programmatic Instructions.
- i) **Annual Professional Dues or Fees:** The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the Programmatic Instructions.
- j) **Charges, Fees and Penalties:** Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.
- k) **Depreciation:** Depreciation charges are not allowable expenditures.

3) Travel

a) Selection of Travel Policy

Applicants may prepare the budget using their own travel policies or the state travel policies according to the following guidelines. Travel reimbursements will only be allowed based on actual costs.

- **Units of Government:** Units of government may use their own written travel policy or the state policy.
- **Private Nonprofit Organizations:** A private nonprofit organization that submits a proposal to OCJP may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b) State Travel Policies

Use the following state travel policies for budgeting travel expenses:

- **Out-of-State Travel:** Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.
- **Mileage:** When a privately owned vehicle is utilized on project-related business, a maximum of 24 cents per mile is allowed, unless a higher rate is justified. This documentation must be on file and available for audit, but should not be submitted with the proposal.

- **Meals and Incidentals**

Breakfast \$5.50: Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

Lunch \$9.50: Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

Dinner \$17.00: Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

Incidentals \$5.00: Incidentals may be claimed for trips of 24 hours or more.

Total: \$37.00

- **Lodging:** Statewide without a lodging receipt is \$24.99.

Statewide with a lodging receipt is the actual lodging expense up to \$79.00, plus applicable taxes.

- **Other:** Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt.

Parking in excess of \$6.00 must be supported by receipt.

4) Consultant Services: Consultant services are provided on a contractual basis by individuals or organizations that are not employees of the applicant (see Personal Services-Salaries). Consultants must not be used in lieu of employees. Consultants are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.

If a specific consultant is identified as a sole source, additional justification will be required if the proposal is selected for funding.

a) Consultant Rates: Consultant rates are to be negotiated by the grantee in accordance with the agency's consultant hiring policies. The rate is the total amount payable including any and all benefits.

b) Expert Witness Fees: Prosecution or criminal defense projects which routinely utilize "expert witnesses" as consultants to conduct evaluations and provide expert testimony in the courtroom may budget for this expense under the Consultant Services category. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed 10% of the project's total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
- Specialized certification/licensure (e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage, Family and Child Counselor (MFCC); Medical Doctor (MD)).
- Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current "going rate" and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).

- Indicate why this cost cannot be paid with county funds. Attach a written justification to OCJP A303b.
- 5) **Facility Rental:** Up to \$10 per square foot annually (\$.83 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds these rates, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.
- 6) **Rented or Leased Equipment:** If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost effective to rent or lease the equipment than it is to purchase it and must be approved by OCJP prior to the execution of any rental or lease agreement.
- 7) **Indirect Costs/Administrative Overhead:** Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services and administrative salaries are examples of indirect costs.

Flat rates not exceeding 10% of personnel salaries (excluding benefits and overtime) or 5% of total direct project costs (excluding equipment) may be budgeted by applicants for indirect costs.

- 8) **Audits:** An audit is required for all OCJP recipients expending \$25,000 or more of OCJP grant awards. Applicants may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:
- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or
 - If the total amount of the grant is greater than \$150,000, the applicant may budget up to 1% of the total grant for financial audit costs.

c. **Equipment (OCJP A303c)** A copy of this form is included in the Proposal Forms section.

Equipment is defined as nonexpendable tangible personal property having a useful life of more than four years and an acquisition cost of \$500 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers should be one line item, not three).

- 1) **Allowable Expenses:** Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification including cost effectiveness, with the Grant Award Forms Package. Prior approval by OCJP is required.

All equipment purchased in whole or in part with State or federal grant funds is the property of the State or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

2) Computers

- a) **Nonprofit Organizations:** Applicants from nonprofit organizations may budget up to \$25,000 in computer equipment, software and related costs. Completion of a Computer Purchase Face Sheet with attached justification is required. Instructions for this requirement are included below. If the proposal is selected for funding, OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase.
- b) **Units of Government:** Applicants from units of government may budget for computer equipment, software and related costs. Completion and submission of the requested information contained on a Computer Purchase Face Sheet with attached justification are required. If the proposal is selected for funding, OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase. If federal grant funds totaling in excess of \$50,000 are used for automated data processing purchases, prior federal approval is also required.
- c) **Computer Purchase Request and Justification:** Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

Use a Computer Purchase Face Sheet to request the purchase of automated systems/computers. (A copy of this form is included in the Proposal Forms section.) Attach a justification using as many pages as necessary to answer the following question(s). Include sufficient information to explain the requested system/computer. The amount of information necessary will be determined by the complexity of the proposed system.

If the total proposed computer system cost is under \$10,000, answer the following question:

- What is your agency's purpose for the proposed system? Include a description of the items to be purchased and how they will be used. Also, explain how the proposed equipment and/or software will enhance the project's ability to achieve the objectives/activities of the project as specified in the Grant Award Agreement.

If the total proposed computer system cost is \$10,000 or over, also answer the following questions:

- Describe the proposed design of your system and indicate whether this is a new system or an addition/enhancement of an existing one. In your description, please be specific as to type and location of hardware/software and how the system will be operated and maintained.
- Will the proposed system design meet not only your current, but future needs?

Describe in detail.

- Does the proposed system integrate with others within the agency? Explain both yes and no responses in detail.
- Do you plan on integrating this system with existing city, county, regional or statewide networks? Explain both yes or no responses in detail.

For criminal justice agencies, also answer the following questions:

- Does the proposed system meet the minimum requirements of the Statewide Integrated Narcotics System (SINS)? Contact OCJP for additional information regarding SINS requirements.
- Does the proposed system include intelligence data subject to 28 CFR Part 23 of the Code of Federal Regulations? Contact Western States Information Network (WSIN) regarding these requirements and have them sign the certification of compliance.

By submitting this request along with the signed Grant Award Face Sheet, the project director certifies that all resources (e.g. hardware, software, personnel and telecommunications) to be utilized by this project are in compliance with all applicable standards, policies and procedures for automated systems as contained in the agency's local policies and operating procedures. The Computer Purchase Face Sheet and justification should be placed in the proposal appendix.

- 3) Automobiles:** Automobiles may be allowable budget items unless prohibited by the Programmatic Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OCJP at a site visit and by the auditor during the required annual audit.

H. PROPOSAL APPENDIX

The proposal appendix provides OCJP with additional information from the applicant to support components of the proposal. Please refer to the Programmatic Instructions for specific requirements

**OFFICE OF CRIMINAL JUSTICE PLANNING
RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
PART III - COMPETITIVE REQUEST FOR PROPOSALS (RFP)
PROGRAMMATIC INSTRUCTIONS**

A. PROPOSAL DUE DATE

THE FINAL DEADLINE FOR RECEIPT OF PROPOSALS AT OCJP IS:

DATE: **Monday, June 16, 1997**

TIME: **No later than 5:00 p.m.**

B. CONTACT INFORMATION

The Programmatic Instructions contained herein are to be used in conjunction with the General Instructions section of this Request-For-Proposal (RFP). If you have not received these instructions, call the Office of Criminal Justice Planning (OCJP) at (916) 324-9100.

If there are any questions regarding any component of this RFP, please contact the Crime Suppression Branch at (916) 324-9112.

C. ELIGIBILITY CRITERIA

Applicants eligible to receive funding for the California Residential Substance Abuse Treatment (RSAT) Program must be a county sheriff (jails/detention facilities), local directors of detention/correctional facilities, and county chief probation officers. Nonprofit organizations with alcohol and other drug (AOD) treatment, treatment planning, screening and assessment/aftercare and relapse prevention expertise may participate as treatment service providers, only if the agencies listed above apply as the implementing agency.

D. FUNDING CYCLE AND DURATION

The purpose of this RFP is to solicit proposals for the California Residential Substance Abuse Treatment (RSAT) Program. This is a federally funded program and eligible agencies responding to this solicitation must budget for 18 months, unless otherwise notified. The grant period will begin June 28, 1997, and end December 31, 1998. Continued funding beyond the first eighteen-month period will be contingent upon the approval of federal applications submitted by OCJP annually. Otherwise, projects receiving funding will be reviewed at the end of each grant period to determine whether program adjustments are necessary. An application for continuation funding will be required for the second and third year grant periods. Any continuation funding will be based on the project's demonstration of satisfactory performance and subject to the availability of funds. A 25% cash match also applies to this program. Applicants applying for funds may not use goods and services as a substitute for this match requirement.

A projected amount of \$895,956 will be available from the FY 1996 Residential Substance Abuse Treatment Program funds. Since this is the first funding year of this federal program, additional funds

may be available to augment selected grantees at a later date. For the present, the maximum grant award amount is projected to be approximately \$223,989 per grant award period (18 months). OCJP anticipates funding no more than four projects initially, with the possibility of additional local project selections being made at a later date, contingent on the availability of federal funds for this program.

E. PROGRAM INFORMATION

The Residential Substance Abuse Treatment Program is contained in Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3711 et seq.), as amended by section 20201(a). The purpose of the RSAT Program is to assist state and local units of government in developing and implementing comprehensive residential substance abuse treatment programs within state and local correctional and detention facilities in which inmates are incarcerated for a period of time sufficient to permit substance abuse treatment.

The RSAT Program, administered by the Corrections Program Office in the Office of Justice Programs, U.S. Department of Justice (DOJ), has emphasized the need for prospective applicants to adopt comprehensive approaches to substance abuse testing and treatment for offenders. This includes relapse prevention and aftercare services. This RFP has been developed using federally mandated program requirements as a framework for obtaining the most detailed and comprehensive responses for local participation. Statewide interest was determined by using the results obtained from a field survey that was distributed in July 1996, to county sheriffs, chief probation officers, and directors of local correctional facilities. For this reason, OCJP recommends that applicants responding to this solicitation review published material described in the recommended reading list, which has been provided in this RFP, prior to applying for funds under this program. As the State Administrative Agency (SAA), OCJP is obliged to assure that federal funds received in support of this program are used effectively and efficiently.

In Fiscal Year 1996, \$27 million was appropriated nationwide for this program. California's portion of this allocation was set at \$2,622,956. State agencies such as the California Department of Corrections and the Department of the Youth Authority also participate and have received funding allocations. The use of these federal funds has been extended to eligible local units of government. Subject to future national federal funding authorizations, amounts through the year 2000 may be available to continue efforts under this program.

1. Federally Mandated Program Requirements

In order to receive funding under this program, state and local participants must agree to administer projects that:

- provide individual and group drug abuse treatment to incarcerated prisoners, who must participate in the project for not less than 6 months nor more than 12 months;
- provide participants drug abuse treatment in residential treatment facilities that are set apart (physically) from the general population;
- focus on the substance abuse problems (including dual diagnosis multiple drug use) and related psychological problems of the inmate;
- develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems; and
- implement/continue to require urinalysis or other proven reliable forms of drug and alcohol testing of individuals assigned to residential substance abuse treatment programs in

jails/correctional facilities. This agreement must include participants who have been released from the RSAT program, but remain in the custody of the State.

Note: Federal RSAT Program mandates require that correctional treatment programs and State/local substance abuse treatment programs work together during program placement activities when participants leave the correctional facility at the end of their sentence or time on parole. This applies equally to juvenile as well as adult offenders.

2. RSAT Program Goals

The broad goals listed below have been established for the California RSAT Program. The first listed goal will be considered the “anchoring” goal for California’s program. As the program matures and additional funding is available, other listed goals will be used as the basis for strategic long range planning for the RSAT Program. These goals include:

- Expand/improve existing RSAT Program components in institutional, local jails, and detention/correctional settings;
- Expand/improve existing RSAT Program services by implementing additional comprehensive programs into selected institutions and parole regions;
- Provide funding and technical assistance to existing local jails, correctional/detention facilities that provide limited treatment services to offenders incarcerated for periods no less than 6 months and no more than 12 months;
- Implement a comprehensive statewide substance abuse testing and reporting system;
- Move closer to meeting the treatment needs of the participants involved in the RSAT Program, including the dual diagnosed offender;
- Develop extended treatment protocols that incorporate current research findings and recommendations that effectively reduce recidivism rates for drug treatment participants and substantially improve service delivery;
- Expand intake screening processes and treatment plan successes, to include dual drug abuse and mental health assessments within the institutional, jails, correctional/detention facility and aftercare treatment settings; and
- Improve coordination and strategic planning processes between correctional representatives, alcohol and other drug abuse agencies, at the State level, including those linkages that extend to county drug abuse administrators and correctional facilities.

3. Funding Policies

- a. RSAT Program funds may be used to develop or expand residential substance abuse treatment programs for in-custody offenders. Grant funds may not be used to support aftercare activities.
- b. Federal legislation prohibits the use of these federal funds for land acquisition or construction projects.
- c. Applicants selected for funding must receive prior approval from the Office of Justice Programs (OJP), Corrections Program Office (CPO) for contracts of \$100,000 or more that are supported by grant funds. This means that prior to placing the Grant Award into agreement, copies of the Grant Award budget pages and pertinent service contracts must be submitted to OJP-CPO for review and approval. This is a mandated OJP, Office of the

Comptroller requirement. OCJP does not anticipate any delays in making funding selections based on this review/approval requirement.

4. Program Funding Priorities

The following funding priorities have been established by OCJP. They are listed in the order of their importance. These funding priorities are designed to provide funds to:

- county jails, local correctional/detention facilities and agencies with treatment programs whose offender populations have no less than 6 months and no more than 12 months remaining in their term of confinement;
- residential substance abuse treatment programs with existing, but limited drug abuse treatment resources that are administered to “in-custody” offenders;
- projects who operate a local correctional/detention facility in a geographical area within California with a high substance abuse offender population;
- projects with a demonstrated capacity to provide substance abuse treatment and mental health services for dual-diagnosed (multi-drug use) offender populations;
- projects with a comprehensive plan for delivering a menu of treatment services, to include drug testing and aftercare services; and
- local correctional/detention-based drug treatment programs with linkages to community-based treatment services.

5. Technical Assistance

Projects selected for funding under this program will be eligible to receive technical assistance on effective substance abuse treatment strategies and program implementation through the OJP/CPO. This assistance will be provided to projects through national and regional workshops and on-site visits geared to address specific needs.

F. PROJECT NARRATIVE INSTRUCTIONS

The project narrative is the main body of information which describes the project and the applicant’s plan to address the needs of program participants. The narrative provides a detailed discussion of the type of program developed, implemented, or expanded. Woven throughout this discussion are points that include the need for the project and program funding and program design characteristics, e.g., treatment plans and theories appropriate to the program, linked to transitional/aftercare services, and relapse prevention strategies.

The narrative further clarifies the applicant’s perspective of the specific plan that will be used to address the requirements of the RSAT Program through appropriate measurable and quantifiable objectives and supporting activities.

In order that applicants can benefit from recent studies and research findings regarding residential substance abuse treatment, a recommended reading list has been provided as an attachment. Agency phone numbers, along with Internet Website addresses, have also been provided. The referenced materials provide comprehensive discussions on topics such as program implementation, treatment plan development, aftercare issues and answers, and relapse prevention strategies. The reading list is not all inclusive and applicants may use other published works in preparing their responses.

The applicant is asked to describe the problem, the plan that will be used to address the problem, the project description/design, objectives and corresponding activities, and the project budget. To be assured of funding priority consideration, the applicant must identify and support any funding priority that applies to the project throughout the proposal, especially in the problem statement of the project narrative.

1. Problem Statement (Limited to four single-spaced pages.)

Provide a narrative description of issues which clearly demonstrate why the project is needed. Support this description with statistical and demographic data, e.g., number of inmates incarcerated for drug-related offenses, inmate population demographics and appropriate correlation factors relating to the need for the project. Within this discussion, describe the service area, location, population, economic, demographic, and social factors that may contribute to the problem. Also provide other relevant crime and drug statistics. This information must be convincingly woven into the fabric of the problem statement. Discuss the types of treatment services currently provided to the inmate population and why current resources are not meeting inmate treatment needs.

Note: Applicants may use existing research information, including results obtained from any previously conducted project evaluations, relative to their proposed project design.

2. Plan

The Residential Substance Abuse Treatment (RSAT) Program will be limited to providing substance abuse treatment, which may include treatment for alcohol and other drug (AOD) abuse, to prisoners incarcerated for a period of time sufficient to permit substance abuse treatment.

a. Project Description/Design (Limited to five single-spaced pages.)

Describe whether the project is the development/expansion of a new/existing residential substance abuse treatment program. Describe the geographical and physical location(s) of the facilities, including program length. Describe how the existing/proposed program focuses on the substance abuse problems of the inmate. Describe the current or proposed drug testing policies and the type(s) of tests used, e.g., urinalysis, blood, or combinations of the two, toxicological screening, etc.

The description must include testing frequency for participants involved in the residential treatment program and aftercare, as appropriate. If this information is not available, applicants may describe the proposed methods to implement this policy. The applicant must provide copies of existing/proposed law/policy requiring substance abuse testing of individuals in local residential substance abuse treatment programs. Place this information in the Appendix. Provide a discussion of the project's existing or proposed staff responsibilities by title and position under this program, to include training and staff qualifications. If training is involved, describe whether staff training is administered jointly with the treatment providers. This description must clarify and differentiate between staff/providers who will be grant funded, compared to those that are not. Also describe the relationships between the correctional treatment program, county drug administrators, local therapeutic community service providers, and state and local treatment and service agencies. Describe the project's existing or proposed program eligibility criteria, participant screening and assessment strategies, including treatment planning, aftercare

activities, and relapse prevention. To support these requirements, describe in detail the sequence in which the participant enters the program through graduation, including any existing/proposed aftercare and relapse prevention activities. Describe the proposed impact that is expected to occur as a result of this project.

b. Project Summary (OCJP Form 227)

The two-page project summary provides an overview of the proposal for use by OCJP and the Corrections Program Office during program and budgetary review/approval. It summarizes the information provided in the project narrative and the budget. Complete sections #1-14. Instructions for completing this form are found in the forms section of this RFP. The information contained in the project summary must agree with information provided in the project narrative and the budget. The project summary must be placed in the appendix of the proposal.

c. Project Objectives and Activities (Limited to two single-spaced pages per objective).

The initial broad goal of the Residential Substance Abuse Treatment Program is to “expand/improve existing RSAT Program components in institutional, local jails, and detention/correctional settings.” Applicants must provide background/baseline data that will be used to measure program improvements over time and will later form the basis of the local and national program evaluation. This information must reflect the FY 1996/97 period prior to grant funding being available for this program, as well as baseline projections for the FY 1997/98 period. The major premise of this program is to provide substance abuse treatment to prisoners/inmates incarcerated in state prisons, jails, correctional and detention facilities. As such, the objectives state the desired or planned end results, **while the activities described in the narrative of each objective must define the process or steps leading to the attainment of the objective or accomplishment of the objective.**

Applicants selected for funding under this program must implement all mandatory objectives. Projects electing to implement aftercare activities must also implement the optional objective. After having done so and project(s) are subsequently selected for funding, the optional objective becomes mandatory. Preference points will be applied to all applicants who describe their aftercare activities within their proposals. At this point, projects selected for funding will not have the option to later exclude this objective from the Grant Award Agreement. The program has two mandatory and one optional objectives:

- 1) Implement the Residential Substance Abuse Treatment Program for prisoners/inmates incarcerated in jails, detention/correctional facilities (baseline data required);
- 2) Provide in-custody treatment services to participants of the RSAT Program; and
- 3) Provide aftercare services to RSAT Program participants who have completed/graduated from the residential phase of the program.

In designing the project’s objectives, the proposal must describe in detail how the objective will address the needs of the project participants as described in the problem statement and project description/design. The objectives and activities should demonstrate the potential for project achievement. The activities described should correspond with the project’s description/design.

Objective: Implement the Residential Substance Abuse Treatment Program for inmates/prisoners incarcerated in jails, detention/correctional facilities.

Baseline data must include:

- The number of offenders who participated in a treatment program during FY 1996/97:

Adult Males: _____ Adult Females: _____ Total: _____

Juvenile Males: _____ Juvenile Females: _____ Total: _____

ETHNICITY

____ African-American ____ Asian-American ____ Caucasian
____ Hispanic ____ Native American ____ Other (Please Specify)

- The number of offenders selected to participate in the program during FY 1997/98*:

(*) Indicates federally mandated reporting requirements.

Adult Males: _____ Adult Females: _____ Total: _____

Juvenile Males: _____ Juvenile Females: _____ Total: _____

ETHNICITY

____ African-American ____ Asian-American ____ Caucasian
____ Hispanic ____ Native American ____ Other (Please Specify)

- The number of residential substance abuse treatment beds available.

FY 1996/97 _____ Projections for FY 1997/98* _____

- The number of RSAT project beds to be added during the project period:

Projections for FY 1997/98 _____

Narrative: Discuss in detail the selection process for assigning program participants. This discussion must include the proposed participant capacity, screening and assessment (alcohol and other drugs, including mental health, as appropriate), including how “ready for treatment” determinations are made. The narrative must also discuss who will conduct screening and assessment activities, including their qualification, and the kinds and types of screening/assessment instruments that will be used to document this process. The

narrative must also discuss how the treatment plan will be developed and by whom; how the plan correlates to screening, assessment, and tailored to the treatment needs of the individual participant. Discuss how the treatment plan addresses the potential problems of participant attrition, noncompliance, and inadequate progress. (Treatment Improvement Protocol, 1994 [TIP Series 7, pp. 5-26])

Objective: Provide in-custody treatment services to participants of the RSAT Program.

Activities necessary to achieve this objective, with quantitative projections, must include:

(*) Indicates federally mandated reporting requirements

- The average length of stay in the RSAT Program (treatment days):*

Projections for FY 1997/98 _____

- The number of offenders to successfully complete the treatment program: (____)*

Adult Males: _____ Adult Females: _____ Total: _____

Juvenile Males: _____ Juvenile Females: _____ Total: _____

ETHNICITY

____ African-American ____ Asian-American ____ Caucasian
____ Hispanic ____ Native American ____ Other (Please Specify)

- The number of drug tests to be administered to residential treatment participants:*(
(____))
- The number of offenders who:*(no projections required)

Dropped from the program: _____
Were terminated from the program: _____
- The average cost (in whole dollars) of the residential program component per offender who completed the program: (\$____)*
- Of the participants completing the residential program, the number that have remained: (no projections needed)

Drug-free _____
Arrest-free _____
Conviction-free _____

Narrative: Describe in detail how treatment services will be provided to participants. This

discussion must be comprehensive and fully describe the treatment delivery methods that will be used, proposed treatment length, service provider and qualifications, case management approach, relapse prevention techniques/strategies, and other related treatment approaches and activities. Include any additional treatment philosophies, activities, and related services. Also discuss how project documentation is maintained, how drug testing results are reported, and the frequency in which tests are administered to program participants. Additionally, the narrative must discuss how sanctions, if any, are imposed in the event of participant violations, misconduct, or program noncompliance.

Aftercare Activities (preference point category) [Limited to two single-spaced pages.]

Applicants will be given the opportunity to acquire preference points for developing aftercare activities that support the residential substance abuse treatment program. The Office of Justice Programs, Corrections Program Office (CPO) reported in the federal RSAT application that research findings and evaluations show consistent reductions in rates of recidivism for offenders completing in-custody substance abuse treatment programs (Lipton, D. S., NIJ, 1996).

Likewise, linking effective aftercare activities to the treatment program assures an even greater recidivism rate reduction and program successes. Applicants have been given the opportunity to describe relevant features of their aftercare component in the Project Description/Design and Objective Narrative of the proposal. In order to receive preference, the aftercare component may include, but is not limited to, the following:

- Community supervision through intensive probation/parole supervision;
- Continuing substance abuse treatment (out-patient) using providers from the therapeutic community;
- Job development and skills-based training/placement; or
- Any proven effective aftercare service model/activities that uses a menu of aftercare services geared to the recovery needs of the program participant.

Note: Preference points will not be added or considered if the applicant chooses not to address aftercare activities. The absence of aftercare activities may hamper program successes and the planned national program evaluation. Applicants are further warned that RSAT Program funds may not be used to support aftercare activities.

Optional Objective: Provide aftercare services to RSAT Program participants who have completed/graduated from the residential phase of the program.

Activities necessary to achieve this objective, with quantitative projections, must include:

- Of the participants who graduated from the program, the number that have remained:*

Drug-free	_____
Arrest-free	_____
Conviction-free	_____

- The number of offenders to successfully complete the aftercare program:*

Adult Males: _____ Adult Females: _____ Total: _____

Juvenile Males: _____ Juvenile Females: _____ Total: _____

ETHNICITY

_____ African-American _____ Asian-American _____ Caucasian
 _____ Hispanic _____ Native American _____ Other (Please Specify)

- Of the offenders who completed the program and following the release from aftercare, the number that have remained:* (no projection required)

Drug-free _____
 Arrest-free _____
 Conviction-free _____

(This information is based on at least one year follow-up of all program participants.)

- The average cost (in whole dollars) of aftercare, per offender who completed the program:* (no projections required)

Narrative: Describe how the current/proposed methods of delivering aftercare services are tied to the RSAT Program participants. The description must include the kinds and types of services, frequency, and who will be providing these services. This discussion must also include the application of relapse prevention techniques and strategies. Additionally, describe the current/proposed coordination efforts that will be used to involve state and local human services and rehabilitation programs that may aid the project in assessing service delivery and rehabilitation effectiveness. The applicant is not restricted to providing typical or traditional services in support of this objective. As an example, these programs may include local schools, universities, junior colleges, job training agencies, and other non-traditional programs. However, proposed aftercare services must be fully described and match the information contained in the Problem Statement and Project Description/Design.

d. Timeline (Limited to two single-spaced pages.)

Applicants must provide a timeline for the initiation and completion of all objectives and activities. The timeline should also highlight significant milestones and anticipated levels of project achievement. The timeline should reflect a realistic plan with adequate resources to achieve the objective. Indicate roles and responsibilities if the scope of direct tasks are spread over project staff/organizations.

e. Evaluation Plan (Limited to three single-spaced pages.)

Applicants applying for funds under this program must include an “outcome-based” evaluation plan in their proposals. The applicant has broad discretion in developing an “outcome-based” component for the project. At a minimum, the plan must describe:

- an acceptable description of goals, objectives, and activities;
- criteria used to assign offenders/participants to the program;
- the impact of project activities in meeting the goals and objectives of the program; and
- the results of the project evaluation that present key issues, findings, and recommendations.

The Corrections Program Office (CPO) has mandated that at least a one year follow-up be conducted on participants who have completed the residential and aftercare phases of the program. Therefore, data developed on each participant must be incorporated into the evaluation plan. Applicants may wish to consider the use of control groups in predicting and reporting project successes.

Applicants are reminded that source documentation must be maintained for three years. Likewise, this requirement also applies to the results acquired in the project evaluation. Program evaluation guidance may be obtained by ordering the materials contained in the Recommended Reading List attached to this RFP.

3. Implementation

a. Organizational Description (Limited to two single-spaced pages.)

Describe the implementing agency, including history, size, composition, and structure of the organization. Discuss the primary mission, philosophy, range and focus of services, and the organization’s capacity to implement the project described.

b. Organizational Chart (Limited to two single-spaced pages.)

Provide a legible organizational chart (stick diagram) that shows the relationships between the implementing agency and project staff, including service providers. Clearly show the placement of the project staff and their programmatic responsibilities. Position titles in the organizational chart must match those described in the project design, project objectives and activities, and budget sections. Attach the organizational chart to the appendix of the proposal.

c. Coordination With Other Agencies (Limited to three single-spaced pages.)

List and describe the agencies with whom coordination efforts are proposed by the applicant. The discussion must be consistent with federally mandated requirements which include:

- working together to place program participants in appropriate community substance abuse treatment when participants leave the correctional facility at the end of their sentence or are released on parole;
- joint involvement in developing an individualized plan for community

- substance abuse treatment for each participant;
- coordination between correctional representatives and alcohol and drug abuse agencies at state and local levels;
- coordination between the RSAT Program staff and the Substance Abuse Prevention and Treatment Block Grant Program under the Department of Health and Human Services' Substance Abuse and Mental Health Services Administration; and
- coordination of substance abuse and mental health services for dual-diagnosed offenders.

Should the applicant predict difficulties in satisfying these requirements, discuss proposed alternatives in meeting these requirements. Provide a discussion of the plans for coordination of the proposed operational agreement (OA) and interagency agreement (IA) with the agencies described. Provide signed and dated OAs/IAs, as appropriate, for each participating agency, e.g., Alcohol and Drug Programs (ADP), county service agencies, treatment providers, etc. The OA must identify who will provide services, the services to be provided, and the time frame of the agreement.

G. SPECIFIC BUDGET INSTRUCTIONS

1. Match Requirements

There is a 25% cash match requirement for this program. **Goods and services do not satisfy cash match requirements for this program.** Computation of the project's cash match must be based on the "total project cost" method. Refer to the General Instructions, page 16, for budget narrative preparation instructions and pages 17-18 for cash match computation instructions.

2. Interagency Agreements and Service Contracts

As described in the General Instructions, each budget category requires line-item detail which addresses the method of calculation and justification for the expense. Copies of appropriate interagency agreements and service contracts (treatment, relapse prevention, aftercare, training, etc.) must be included in the appendix. **The amount indicated in the interagency agreements and service contract must match the information contained in the line-item detail in the budget pages.** Copies of the proposal budget pages will be submitted to OJP/CPO, Washington, DC for review/approval prior to selected projects being placed into agreement.

H. PROPOSAL APPENDIX INSTRUCTIONS

The following documents must be included in the appendix in the order indicated:

1. Existing/proposed local county/jurisdiction drug testing policies
2. Duty statements for funded positions
3. Organizational chart(s)
4. Operational agreements
5. Interagency agreements/service contracts

6. Project Summary (OCJP Form 227)

ATTACHMENT I

RECOMMENDED READING LIST

Research Data on Drug Treatment in the Criminal Justice System

The below listed information may be obtained through the National Criminal Justice Reference Service at (800) 851-3420 or (800) 729-6686:

National Drug Control Strategy, 1995

National Institute of Justice, U.S. Department of Justice, Publications:

The Effectiveness of Treatment for Drug
Abusers Under Criminal Justice Supervision,
Douglas Lipton, Ph.D.

"Boot Camp" Drug Treatment and Aftercare
Intervention: An Evaluation Review

Center for Substance Abuse Treatment, U.S.

Department of Health and Human Services

Publications: [Contact (301) 443-6980]

White Paper on the Effectiveness of
Substance Abuse Treatment

Screening and Assessment for Alcohol and
Other Drug Abuse Among Adults in the
Criminal Justice System

Confidentiality of Patient Records for
Alcohol and Other Drug Treatment

Combining Substance Abuse Treatment
with Intermediate Sanctions for Adults in
the Criminal Justice System

Criminal Justice and Juvenile Justice
Treatment Planning Charts

Funding Resource Guide for Substance
Abuse Programs

ATTACHMENT I (Continued)

RECOMMENDED READING LIST

(Continued)

The information described below is the recommended reading list that accompanied the FY 1997 RSAT Application. The Federal Application may be obtained by contacting the Office of Justice Programs, Corrections Program Office or your County Publications Manager.

National Institute on Drug Abuse, U.S. Department of Health and Human Services Publications:
[Contact: (301) 443-6533, or use the Internet Website address:
<http://www.health.org/pubs/catalog/ordering.htm>]

- Clinical Report Series: Mental Health Assessment and Diagnosis of Substance Abusers
- Clinical Report Series: Assessing Drug Abuse Among Adolescents and Adults: Standardized Instruments
- How Good is Your Drug Abuse Treatment Program? Overview and Case Study
- Recovery Training and Self-help: Relapse Prevention and Aftercare for Drug Addicts*
- Recovery Training and Self-help: Handbook for Program Administrators*
- Recovery Training and Self-help: In-Service training Curriculum*
- Videotape Training and Self-help: Drug Abuse Treatment In Prison: A New Way Out

Note: (*) Indicates that the material identified must be purchased. For further information concerning cost, contact (703) 487-4650 or the California Department of Alcohol and Drug Programs, Reference Center at (916) 327-3728, FAX (916) 323-1270. Recommended reading material may also be obtained by using an ordering form found on the Internet Website , at <http://www.adp.cahwnet.gov>.

**OFFICE OF CRIMINAL JUSTICE PLANNING
RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
RATING FORM: 1996/97**

		Control #:
		Rater:
APPLICANT:		
FUNDS REQUESTED:		
PREFERENCE POINTS:	2%	5%

**TOTAL
POINTS
POSSIBLE**

CATEGORY

1. PROBLEM STATEMENT	90
2. PLAN (includes aftercare activities preference points)	485
3. IMPLEMENTATION	75
4. BUDGET	50

TOTAL

700

Each of the above categories contain questions that are assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. Each question is evaluated on the following criteria:

- I.** Does not respond to the question or was left blank.
- II.** Does not completely respond to the question. Information presented does not provide a good understanding of applicant's intent, does not give detailed information requested by the RFP, or does not adequately support the proposal.
- III.** Responsive to the question. Provides an average understanding of the applicant's response to the RFP. Response adequately supports the proposal.
- IV.** Above average response which gives a clear and detailed understanding of the applicant's intent. Response presented a persuasive argument supporting the proposal.
- V.** Outstanding response with clear, detailed and relevant information exceeding the information requested. Response presented a compelling argument supporting the proposal.

	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum 90 points)					
a. Does the problem statement describe issues which clearly demonstrate why the project is needed?	0	9	18	27	35
b. Does the problem statement describe the service area, location, population, economic, demographic, and social factors that may contribute to the problem?	0	5	10	15	20
c. Does the problem statement provide relevant crime and drug-related statistics?	0	5	10	15	20
d. Does the problem statement discuss the types of treatment services currently provided to the inmate population and why current resources are not meeting inmate treatment needs?	0	4	8	12	15
2. PLAN (Maximum 485 points)					
a. Project Description/Design (Maximum 210 points)					
1) Does the applicant describe whether the proposed project is the development/expansion of a new/existing residential substance abuse treatment program?	0	3	5	8	10
2) Does the applicant describe the geographical and physical location(s) of the facilities, including program length?	0	3	5	8	10
3) Does the applicant describe how the project focuses on the substance abuse problems of the inmate?	0	7	13	19	25
4) Does the applicant describe the existing/proposed substance abuse testing policy and types of tests used?	0	4	8	12	15
5) Does the project describe existing/proposed staff responsibilities under the RSAT Program, to include training and staff qualifications?	0	7	13	19	25
6) Does the project describe the relationships between the correctional treatment program, county drug administrators, local therapeutic community service providers, state and local treatment and service agencies?	0	7	13	19	25

	I	II	III	IV	V
7) Does the applicant describe existing/proposed program eligibility criteria, including screening and assessment strategies, including treatment planning, aftercare activities and relapse prevention?	0	13	25	38	50
8) Does the applicant describe the sequence in which the participant enters the program through graduation, including any existing proposed aftercare and relapse prevention activities?	0	7	13	19	25
9) Does the applicant discuss the proposed impact that is expected to occur?	0	7	13	19	25
b. Project Summary (OCJP Form 227) (Maximum 20 points)					
1) Does the applicant complete all appropriate sections of the Project Summary and place it in the Appendix ?	0	5	10	15	20
c. Project Objectives and Activities (Maximum 180 points)					
1) Do the objectives and activities address the needs of the participants identified in the problem statement and project description/design?	0	13	25	38	50
2) Do the objectives and activities demonstrate the potential for project achievement?	0	7	13	19	25
3) Do the activities correspond with the project's description/design?	0	7	13	19	25
4) Aftercare Component (Preference Point Category)					
a) Does the applicant describe how aftercare activities are tied to the RSAT Program participants?	0	7	13	19	25
b) Does the discussion include kinds and types of services, frequency, and who will provide the services? Does this discussion also include the application of relapse prevention techniques and strategies?	0	9	18	27	35

	I	II	III	IV	V
c) Does the applicant describe the current/proposed coordination efforts used to involve state and local human service and rehabilitation programs?	0	5	10	15	20
d. Timeline (Maximum 25 points)					
1) Does the timeline depict the initiation and completion of all objectives and activities?	0	2	3	4	5
2) Does the timeline highlight significant milestones and anticipated levels of achievement?	0	2	3	4	5
3) Does the timeline reflect a realistic plan, with adequate resources, to achieve the objectives?	0	4	8	12	15
e. Evaluation Plan					
1) Does the applicant describe the elements of an “outcome-based” evaluation plan, which includes an acceptable description of goals, objectives, and activities, selection criteria for participants, impact of evaluation activities, evaluation results that presents key issues, findings, and recommendations?	0	13	25	38	50
3. IMPLEMENTATION (Maximum 75 points)					
a. Organizational Description					
1) Does the project describe the implementing agency, including history, size, composition, and organizational structure?	0	3	5	8	10
2) Does the project discuss the primary mission, philosophy, range, and focus of services, and the organization’s capacity to implement the project described?	0	5	10	15	20
b. Organizational Chart					

	I	II	III	IV	V
c. Coordination with Other Agencies					
1) Does the applicant describe the agencies with whom coordination activities are proposed? Are these agencies listed?	0	3	5	8	10
2) Does the applicant provide a discussion of these agencies and coordination efforts consistent with federally mandated requirements? If not, are proposed alternatives for meeting these requirements discussed?	0	2	3	4	5
3) Did the applicant provide signed and dated Operational Agreements/Interagency Agreements, as appropriate, for the agencies listed?	0	2	3	4	5
4) Does the IA/OA identify who will provide services, the services to be provided, and the time frame of the agreement?	0	3	5	8	10
4. BUDGET, including budget narrative (Maximum 50 points)					
a. How well does the budget support the proposed objectives and activities?	0	7	13	19	25
b. How well do the duties, required qualifications, and time commitment of project funded staff support the proposed objectives and activities?	0	4	8	12	15
c. How well does the budget avoid unnecessary or unusual expenditures which would detract from the accomplishment of the objectives and activities?	0	3	5	8	10

RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM

PROPOSAL CHECKLIST AND REQUIRED SEQUENCE

This checklist is provided to assist the applicant in ensuring that a complete proposal is submitted to OCJP. Failure to include any of the following elements may result in disqualification of the proposal.

- r GRANT AWARD FACE SHEET (*General Instructions*)

- r PREFERENCE POINTS CERTIFICATION FORM, signed by the designated Enterprise Zone Contact (*General Instructions*)

- r PROJECT NARRATIVE (*Programmatic Instructions*)
 - Problem Statement
 - Plan
 - Implementation

- r PROJECT BUDGET (*General Instructions and Programmatic Instructions*)
 - Budget Narrative
 - Budget Forms - OCJP A303a, A303b, A303c

- r PROPOSAL APPENDIX (*General Instructions and Programmatic Instructions*)
 - Existing/proposed county/local jurisdiction drug testing policies
 - Duty Statements for project funded positions
 - Organizational Chart(s)
 - Operational Agreements(s)
 - Interagency Agreements(s)
 - Project Summary (OCJP Form 227)

**OFFICE OF CRIMINAL JUSTICE PLANNING OCJP A301
GRANT AWARD FACE SHEET**

The Office of Criminal Justice Planning, hereafter designated OCJP, hereby makes a grant award of funds to the following **Administrative Agency (1)** _____
hereafter designated Grantee, in the amount and for the purpose and duration set forth in this grant award.

(2) Implementing Agency Name _____

Contact _____

Address _____

Telephone () _____

(3) Project Title (60 characters maximum)	(6) Award No.
(4) Project Director (Name, Title, Address, Telephone) (four lines maximum)	(7) Grant Period
	(8) Federal Amount
	(9) State Amount
(5) Financial Officer (Name, Title, Address, Telephone) (four lines maximum)	(10) Cash Match
	(11) In-Kind Match
	(12) Total Project Cost

This grant award consists of this title page, the proposal for the grant which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, this Request-for-Proposal (RFP) and the OCJP Grantee Handbook.

<p style="text-align: center;"><u>FOR OCJP USE ONLY</u></p> <p>Item: _____</p> <p>Chapter: _____</p> <p>PCA No.: _____</p> <p>Components No.: _____</p> <p>Project No.: _____</p> <p>Amount: _____</p> <p>Split Fund: _____</p> <p>Split Encumber: _____</p> <p>Year: _____</p> <p>Fed. Cat. #: _____</p> <p>Match Requirement: _____</p> <p>Fund: _____</p> <p>Program: _____</p> <p>Region: _____</p>	<p>(13) Official Authorized to Sign for Applicant/Grant recipient</p> <p>_____ Name:</p> <p>_____ Title:</p> <p>_____ Address:</p> <p>_____ Telephone: ()</p> <p>_____ Date:</p> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <p>_____ Fiscal Officer, OCJP Date</p> <p>_____ Executive Director, OCJP Date</p>
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PREFERENCE POINTS CERTIFICATION

Use this format if one is not provided by the Lead agency.

DATE:

TO: OFFICE OF CRIMINAL JUSTICE PLANNING

FROM: Community Contact
Enterprise Zone Program

SUBJECT: PREFERENCE POINTS

(check only one box)

- ☐ (5%) The applicant named below has targeted this enterprise zone for grant-related activities.
- ☐ (2%) The applicant named below has not specifically targeted this enterprise zone for grant-related activities. However, the applicant provides needed services to residents of this community.

Applicant Name: _____

Project Name: _____

Address: _____

Program Zone: _____

I certify that I have reviewed the proposed project and that it meets the eligibility requirements for preference points as required by California Government Code Section 7093.

Print name of Enterprise Zone contact Title

Signature of Enterprise Zone contact Date

Address

() _____
Telephone Number

THE PROJECT NARRATIVE
GOES HERE

No standard forms are provided for the Project Narrative.

See Programmatic Instructions for details.

THE BUDGET NARRATIVE
GOES HERE

No standard forms are provided for the Budget Narrative.

See Programmatic Instructions for details.

BUDGET CATEGORY AND LINE-ITEM DETAIL	COST
A. Personal Services - Salaries/Employee Benefits	
TOTAL	

OCJP-A303b

BUDGET CATEGORY AND LINE-ITEM DETAIL				COST
C. Equipment				
CATEGORY TOTAL				
PROJECT TOTAL				
FUND DISTRIBUTION	FEDERAL	STATE	CASH MATCH	IN-KIND MATCH
1. Amount of Funds				
2. Percentage of Funds				

**THE PROPOSAL APPENDIX
GOES HERE**

See Programmatic Instructions for details.

SAMPLE OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the _____ (applicant agency) _____ and the _____ (agency) _____ intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in _____ (jurisdiction) _____. Both agencies believe that implementation of the _____ proposal, as described herein will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

1. The _____ (applicant agency) _____ project will closely coordinate the following services with the _____ (agency) _____ through:

- Project staff being readily available to _____ (agency) _____ for service provision through _____ (describe arrangements with the agency) _____;
- Regularly scheduled meetings _____ (how often) _____ between _____ (persons/positions) _____ to discuss strategies, time tables and implementation of mandated services.

* Specifically:

* List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of _____ (applicant agency) _____ and _____ (agency) _____, do hereby approve this document.

For _____ For _____

Date _____ Date _____

COMPUTER PURCHASE FACE SHEET

GRANTEE:

GRANT AWARD NO:

PROJECT TITLE:

GRANT AWARD PERIOD:

From: _____, 19____ to _____, 19_____

Software Cost:

\$

Hardware Cost:

\$

Other Related Items Costs:

\$

Total Proposed Computer System Cost: \$

Total Grant Award Amount: \$

FOR OCJP USE ONLY

	Approved	Denied		
	r	r	Program Staff's Signature	Date
Under \$10,000	r	r	Branch Chief's Signature	Date
\$10,000 and over	r	r	Information Systems Branch Chief's Signature	Date
	r	r	Division Chief's Signature	Date

PROJECT SUMMARY INSTRUCTIONS

All of the necessary project information must be placed on the form in the space allowed. **Additional pages may not be added.** This is a summary of the project narrative.

1. **APPLICANT CATEGORY:** Check the appropriate category for which the agency represents.
2. **PROJECT TITLE:** Enter the complete title. Acronyms are not acceptable. Do not exceed 60 characters, including space and punctuation.
3. **GRANT PERIOD:** Enter the beginning and ending dates of funding as specified in the grant application.
4. **NUMBER OF INMATES/PARTICIPANTS SERVED:** Indicate the total number of participants that will be served during this Grant Award period. Indicate whether those served are male/female adults or male/female juveniles.
5. **APPLICANT:** Enter the name and complete address, phone and FAX number of the organization that is applying for the grant.
6. **FUNDS REQUESTED:** Enter the amount of grant funds requested. This must be the same amount used on the budget pages and on the proposal cover sheet.
7. **IMPLEMENTING AGENCY:** Enter the agency or organization designated on the grant award face sheet as the programmatic recipient of the grant funds who will accomplish the planned objectives and program goals.
8. **PROJECT DESIGN/DESCRIPTION:** Summarize the project's design/description of the specific area of service which OCJP is authorized to fund based upon state or federal legislation.
9. **PROJECT OBJECTIVES:** Include the quantifiable measurements which define a course of action in order to accomplish the project goals.
10. **PROJECT ACTIVITIES (Treatment):** Briefly summarize treatment activities that will be undertaken during the course of this grant award for the appropriate objective (quantify where possible).
11. **PROJECT ACTIVITIES (Aftercare):** Briefly summarize aftercare services that will be provided to participants during the Grant Award period.
12. **EVALUATION PLAN:** Summarize your evaluation plan in terms of performance measurements and outcomes, major elements of the evaluation effort, by whom it will be conducted, and any pertinent information concerning evaluation instruments and source documentation.
13. **PROJECTED BUDGET:** List all noted budget items. Be specific in breakdown of grant funds and all other budget sources. [Reminder: RSAT Program funds may not be used to support aftercare services.]
14. **RESPONSIBLE OFFICIAL:** The legally responsible official or designee for the organization must sign and date this document. The official's name and title should be typed in the space provided.

**OFFICE OF CRIMINAL JUSTICE PLANNING
CALIFORNIA RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
PROJECT SUMMARY**

1. APPLICANT CATEGORY:

(Check one that applies)

- ☐ State Correctional Facility
- ☐ Youth Authority
- ☐ County Facility/Jail
- ☐ Other _____

2. PROJECT TITLE:

3. GRANT PERIOD:

From _____

To _____

4. NUMBER OF INMATES/PARTICIPANTS SERVED: Total: _____

Adult Male: ____ Adult Female: ____ Juvenile Male ____ Juvenile Female ____

5. APPLICANT

Name:

Phone: ()

Address:

Fax #: ()

6. FUNDS REQUESTED:

\$ _____

7. IMPLEMENTING AGENCY

Name:

Phone: ()

Fax #: ()

Address:

8. PROJECT DESIGN/DESCRIPTION

9. PROJECT OBJECTIVES

10. PROJECT ACTIVITIES (Treatment)

11. PROJECT ACTIVITIES (Aftercare)**12. EVALUATION PLAN****3. PROJECTED BUDGET***

	Personnel Services	Operating Expenses	Equipment	TOTAL
Funds Requested*				
Other Grant Funds				
Other Sources				

*(Program funds cannot be used to port aftercare services)				

NAME OF RESPONSIBLE OFFICIAL

Signature: _____ Date: _____

Typed Name: _____ Title: _____